

Checklist for NIH SF424 (R&R) Applications using Grants.gov

<http://www.dartmouth.edu/~osp/docs/ChecklistforNIH%20SF424R&RAApplications.pdf>

Please note that this checklist is a tool for assisting in correctly preparing a grant application using PureEdge SF424(R&R) forms.

****This checklist is not a substitute for the official “Grants.Gov SF424 (R&R) Application Guide”**. The official Application Guide should be accessed from the Application Instructions for the specific Funding Opportunity Announcement.**

The applicable section of the Application Guide is referenced in parentheses (e.g., (4.2))

Pre-submission Preparation:

Be sure that the PI is a registered user in the NIH Commons prior to submitting the proposal. Email OSP for assistance at sponsored.projects@dartmouth.edu.

Required Software

- MAC** users should download the Citrix client prior to downloading the application package from Grants.gov. <http://www.grants.gov/MacSupport>. Additional PC emulators are in development.
- PC** users should download the PureEdge Viewer prior to downloading the application package from Grants.gov. <http://www.grants.gov/DownloadViewer>
- PDF** file generator (Adobe Acrobat – Professional or Standard edition). You will **not** be able to convert MS Word documents to PDF using the regular Adobe Reader. Grants.gov also recommends conversion alternatives at: <http://www.grants.gov/agencies/asoftware.jsp#3>

To operate PureEdge Viewer (now a subset of IBM Workplace Forms™), **your browser should be Internet Explorer 5.01 or higher, Netscape Communicator 4.5 - 4.8, or Netscape 6.1, 6.2 or 7. PureEdge will NOT run within the Mozilla Firefox browser.**

Downloading the Application:

- Use the [NIH Guide for Grants and Contracts](http://grants1.nih.gov/grants/guide/index.html) (<http://grants1.nih.gov/grants/guide/index.html>) to locate the funding opportunity announcement (FOA). Selecting the grant opportunity number from the results will open the appropriate download page in grants.gov.
- Follow links to “Download Opportunity Instructions and Application” page.
- Enter your email address to be notified of any changes to the opportunity. (Highly recommended!)
- Save application instructions to local drive.
- Save application package (*.xfd file) to local drive.

When saving the application package this naming convention should be used:

Last Name_ First Name Initial_ Title Keyword_ NIH.

The application package may be saved at any time; the resulting “warning” message occurs after every save until the application is complete, so it is safe to simply click YES and continue with the save.

Important /Before Filling out Forms

- It is **CRITICAL** that the information in the PI's NIH COMMONS profile matches the information on the SF424 R&R form. The PI's profile should be kept up-to-date!
- ALL Yellow Fields **must** be filled in.
**** FOA instructions and PHS SF424 (R&R) Application Guide should be reviewed CAREFULLY for additional required fields.****
- Be sure to open application file in PureEdge FROM YOUR LOCAL DRIVE before working on the application.
- PureEdge FIELD LEVEL HELP is available at any level within the application package. Pointing to any field with this tool will then provide more detailed information about that field.

NIH Format Specifications:

- ❖ NIH **REQUIRES** all text attachments to be submitted as **PDF (Portable Document Format)** files.

Some formatting requirements are listed below:

- Security features should be disabled in the PDF document.
- Turn the "signature" off when you create original documents.
- NIH does not accept PDF documents with editable fields (fields that can be changed).
- NIH also strongly discourages the use of columns in the main text of the research summary.
- NIH will not accept special characters in file names. The NIH system will restrict the file names to allow only characters that are normally valid in URLs. For instance, brackets such as "[" and "]" are not accepted.
 - NIH's validations will allow the following legal and reserved URL characters:
 - The legal characters in URLs are:
 - A through Z, a through z, and 0 through 9
 - Hyphen (-), underscore (_), period (.), exclamation point (!), tilde (~), asterisk (*), accent ('), left parenthesis ((), right parenthesis ()
 - The reserved characters consist of:
 - Semi-colon (;) slash (/), question mark (?), colon (:), at sign (@), ampersand (&), equals sign (=), plus sign (+), dollar sign (\$), and comma (,)

* Further information regarding PDF requirements can be found at:

http://era.nih.gov/ElectronicReceipt/faq_prepare_app.htm#2e

- ❖ Do NOT include headers or footers on the PDF attachments (*A header will be system-generated that references the name of the PD/PI. Page numbers for the footer will be system-generated in the complete application, with all pages sequentially numbered*).
- ❖ Use **Arial, Helvetica, Palatino Linotype, or Georgia** typeface, a black font color, and a font size of 11 points or larger. (A Symbol font may be used to insert Greek letters or special characters, although the font size requirement still applies.)
- ❖ Use at least one-half inch margins (top, bottom, left, and right) for all pages and there must be no more than 15 characters per inch with no more than 6 lines per inch.

Completing the Application:

Complete the form documents in the order presented in the package as some of the information is populated from information entered on previous forms.

Application Filing Name Field: Unless the FOA instructions require a specific title, please use this naming convention in the field; **Last Name_First Name Initial_Title Keyword_NIH.**

SF424(R&R) Form: (section 4.2 in the Application Guide)

1. Type of Submission
- Select “Application” for all proposals except “corrected applications.”
 - Select “Corrected Application” when submitting your application to correct errors that were identified by the NIH Commons or to submit a new version of an application before the deadline.
2. Date Submitted: Leave blank as OSP enters the date when it is being submitted
3. Date Received by the State: Leave field blank.
4. Federal Identifier:
- *Leave blank for new applications*
- **If this is a revised or renewal application, enter the assigned application/award number as the Federal Identifier (for example: CA123456)**
 - If this is a CHANGED/Corrected Application for a “New” Application, enter the Grants.gov tracking number for the previous application that you are correcting.
 - When submitting a CHANGED/Corrected Application for a “Resubmission,” “Renewal,” or “Revision”, enter the previously assigned grant number (e.g., CA123456).
5. Applicant Information
- Organizational DUNS: **041027822**
 - Legal name is Trustees of Dartmouth College
Department: Office of Sponsored Projects
11 Rope Ferry Road, #6210
Hanover, NH 03755
County: Grafton
Person to be contacted on matters involving this application: “Nancy Wray”
Tel. 603-646-3007 Fax. 603-646-3670 Email: egrants.gov@dartmouth.edu
6. Employer Identification (EIN):
1-020222111-A3
7. Type of Applicant: **Private Institution of Higher Education**
8. Type of Application:
You must select: New, Resubmission, Renewal or Revision.
Please refer to section 4.2 in Application Guide for definitions
- 9, 10. Generally these fields are pre-filled by the grantor agency. If fields are blank, leave blank.
11. Descriptive Title of Applicant’s Project:
***NIH limits title character length to 81 characters, including spaces.**

12. Areas Affected by Project: (Cities, Counties, States, Etc.)
Enter N/A for not applicable unless the NIH instructions indicate otherwise

13. Start Date and Ending Date: **MM/DD/YYYY**.

14. Congressional District Applicant and Congressional District Project:

- Applicant: **NH-002** for Dartmouth College/DHMC.
- Project: **NH-002** for Dartmouth College/DHMC.

*Use **NH-all** to include all districts of New Hampshire and **VT-001** for Vermont. Additional districts may be attached in Block #21.*

15. Project Director/Principal Investigator (PD/PI) Contact Information.

References to OSP and OSP's address must be removed from this section!

The PI name address in this section must match the employment section of the PI's Personal Profile in the NIH Commons.

- Organization: Trustees of Dartmouth College
- Division: Dartmouth Medical School, Thayer School of Engineering, Tuck School of Business or Arts & Sciences.

16. Estimated Project Funding:

Amounts should be entered once the budget pages are completed.

17. Is Application Subject to Review by State Executive Order 12372 Process?

Does not apply to NIH, check "No, Program is not covered by E.O. 12372."

19. Authorized Representative:

- This is the signing official that will ultimately be submitting your application to Grants.gov
- Tel. 603-646-3007 Fax. 603-646-3670. Email: egrants.gov@dartmouth.edu

Research and Related Other Project Information (4.4)

Sections 1-5: Complete the required information

If you click **YES** that HUMAN SUBJECTS are involved, you must provide either an exemption number or Assurance number. **Assurance # must be entered as 00003095**

If you click **YES** that VERTEBRATE ANIMALS are used, you **must** enter **A3259-01** for the Animal Welfare Assurance number.

For the following sections (6-11), attach PDF files.

6. Proposal Summary/Abstract

This section must be no longer than 30 lines of text!

7. Project Narrative

2-3 sentences describing relevance to public health, in lay terms.

8. Bibliography & References Cited

9. Facilities & Other Resources

10. Equipment

11. Other Attachments

Research and Related Project/Performance Site Location(s) (4.3)

Indicate the primary site where the work will be performed.

- Organization: Trustees of Dartmouth College

If part of the project will be performed at any other location(s), identify it in the section provided.

If you have more than eight locations, provide the information in a separate file and attach.

Research and Related Senior/Key Person Profile (4.5)

Profile for PI/PD

- Credential.eg.,agency login

The PI's NIH Commons log in username must be entered here!!!

Please refer to the SF424 (R&R) Application Guide for Multiple PI proposals

- Attach Biographical Sketch **Make sure you are using the forms provided in the SF424 (R&R) Application kit at <http://grants1.nih.gov/grants/funding/424/index.htm>*

Current & Other Pending Support: Unless otherwise required in a specific FOA, do not include Other Support as this comes at the JIT (Just-In-Time) stage.

Remaining Senior/Key Person Profiles should be entered in alphabetical order.

At this time Credential.eg.,agency login is not required by NIH for other key personnel

**The role of "Co-PD/PI" is not currently used by NIH and other PHS agencies. **

- If including individuals classified as "Other Significant Contributors (OSCs)," use the "Other" category and indicate "Other Significant Contributor" as the role in the "Other Project Role Category." OSCs should be listed last **after** all other Senior/Key Persons have been listed.

NIH defines Key Personnel: *The PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered key personnel if their involvement meets this definition. Consultants also may be considered key personnel if they meet this definition. Key Personnel must devote measurable effort (in person months) to the project whether or not salaries are requested. "Effort of zero person months" or "as needed" are not acceptable levels of involvement for those designated as Key Personnel.*

NIH defines Other Significant Contributors: *This category identifies individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified*

measurable effort (in person months) to the project. These individuals are typically presented at "effort of zero person months" or "as needed" (individuals with measurable effort cannot be listed as Other Significant Contributors). Consultants should be included if they meet this definition. This would also be an appropriate designation for mentors on Career awards.

In Version 2 of this form, if more than eight Senior/Key Person profiles are proposed, attach the remaining individuals alphabetically in a separate PDF file.

In Version 2a of this form, PureEdge can now create and attach supplementary forms for up to 40 additional senior/key persons.

PHS 398 Cover Page Supplement (5.3)

1. New Investigator box needs to be checked "yes" or "no".

DEGREES: Indicate up to three academic and professional degrees or other credentials, such as licenses (for example, R.N.). **These degrees should be a subset of the degrees that are listed on the PD/PI's NIH Commons profile.**

2. Human Subjects

- Check "yes" or "no" for Clinical Trial
- Check "yes" or "no" for Agency –Defined Phase II Clinical Trial

3. Applicant Organization Contact:

Title: Director

Address:

11 Rope Ferry Road, #6210

Hanover, NH 03755

PHS 398 Research Plan (5.5)

2. Research Plan Attachments (5.5)

- Attachments must be PDFs
- DO NOT include headers and footers

Note: While each section of the Research Plan needs to be uploaded separately as a PDF attachment, it is strongly recommended to construct the Research Plan as a single word document to ensure that document does not exceed page limitation prior to separating sections into individual PDFs.

PHS 398 Checklist (5.6)

2. Change in Investigator/Change in Institution Questions

Complete only if this is applicable to your application

3. Invention and Patents

This section is only required on renewal applications

4. Program Income

This should be checked “yes” or “no.”

If you check “yes” please refer to section 5.6 in Application Guide for instructions on this section

PHS 398 Cover Letter Component (5.2)

Refer to section in Application guide for specific instructions on this section.

PHS 398 Modular Budget (5.4)

A modular budget must be completed for each budget year

Budget Period

Start and End Date should be entered in the following format: MM/DD/YYYY

A. Direct Costs

Direct Costs less Consortium F&A

Enter amount of direct costs, less actual Consortium F&A costs for **this** budget period.

Consortium F&A

Enter ACTUAL consortium F&A costs in this section for **this** budget period.

B. Indirect Costs

Indirect Cost Type: Enter MTDC

Enter Indirect cost rate %

Indirect Cost Base: Remember Dartmouth follows Modified Total Direct Costs (MTDC)

***Total direct costs **excluding** capital expenditures (buildings, individual items of equipment over \$2,500, alterations and renovations), that portion of each subaward in excess of \$25,000, patient care, rental/maintenance of off-site activities, tuition remission, scholarships and fellowships.

Cognizant Federal Agency

Please enter: **Department of Health and Human Services**
Robert I. Aaronson
212-264-2069

Indirect Cost Rate Agreement Date: This can be found on the Institutional Profile at:

<http://www.dartmouth.edu/~osp/resources/profile.html>

A cumulative budget will be calculated automatically on the third page. **(No data entry is allowed in this section.)** Errors must be corrected in the source document.

Budget Justifications:

Modular budget justifications that are applicable must be included.

Effort must be shown in number of **person months** (indicate academic, calendar, and/or summer).
Conversion Chart: <http://www.dartmouth.edu/~osp/docs/ConversionChart.xls> to help you convert % effort into person months.

“Additional Narrative Justification” section should be used for variations in the number of modules requested.

PHS 398 Research & Related Budget (4.7)

Sections A & B (4.7.1)

Budget Type: Select “PROJECT”

Start Date and End Date should be entered in the following format MM/DD/YYYY

Section A - Senior/Key Person(s)

Enter the level of effort using **person months** (calendar, academic and/or summer).

Conversion Chart: <http://www.dartmouth.edu/~osp/docs/ConversionChart.xls> to help you convert % effort into person months.

Is the fringe rate used correct?

Is the salary cap correct?

If funds are requested for more than 8 Senior/Key Persons, add budget attachment

Section B - Other Personnel

Enter appropriate role in the blanks if not already provided in the form list.

Is the fringe rate used correct?

Do not include Consultants in this section as they are to be included in Section F.

Section C through E (4.7.2)

C. Equipment

Only for equipment costs of \$2,500 and over. If less, put in “supplies” category.

E. Participant/trainee Support Costs

Unless specifically stated otherwise in an announcement, leave Section E blank.

Sections F through K (4.7.3)

5. Subawards/Consortium/Contractual Costs

Enter TOTAL funds requested for 1)all subaward/consortium organization(s) proposed for the project and 2) any other contractual costs proposed for the project.

Use line 8-10 to describe any “other” direct costs not requested above in sections 1-7. This section should be used if you are including:

- IRB fee
- Tuition remission for graduate students
- Patient care costs

Section H - Indirect Costs (see Institutional Profile at <http://www.dartmouth.edu/~osp/resources/profile.html>)

Indirect Cost Type: Enter **MTDC**

Enter Indirect cost rate %

Indirect Cost Base: Remember Dartmouth follows Modified Total Direct Costs (MTDC)

***Total direct costs **excluding** capital expenditures (buildings, individual items of equipment over \$2,500, alterations and renovations), that portion of each subaward in excess of \$25,000, patient care, rental/maintenance of off-site activities, tuition remission, scholarships and fellowships.

Cognizant Federal Agency

Please enter: **Department of Health and Human Services**
Robert I. Aaronson
212-264-2069

K. Budget Justification

- This is a single justification for **all** budget years.

Don't forget to show level of effort using **person months** (calendar, academic and/or summer)

Conversion Chart: <http://www.dartmouth.edu/~osp/docs/ConversionChart.xls> to help you convert % effort into person months.

Research & Related Subaward Budget (4.8)

If your application will have a subcontract/consortium, this component must be completed by each consortium grantee institution.

When the consortium institution completes the required budget, their Organization DUNS and Name of Organization fields **must** reflect that of the subaward/consortium grantee.

The subaward/consortium justification must be part of their budget.